



Attorney Docket No. M000-P02003US

2124 \$  
CL  
#23

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Mahne

Application No.: 09/259,991

Appl'n No.

Bar Code:



Filed: 03/10/1999

For: Transparent Encryption and  
Decryption with Algorithm Independent  
Cryptographic Engine that Allows for  
Containerization of Encrypted Files

Art Unit: 2134

Examiner: Smithers

**RECEIVED**

JUL 09 2003

Technology Center 2100

Commissioner for Patents  
Washington, D.C. 20231

**Information Disclosure Statement**

Dear Sir:

**General Matters**

|                                     |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Copies of the references listed on the attached form PTO/SB/08A are enclosed. |
|-------------------------------------|---|

**This Information Disclosure Statement is being filed under:**

|                                     |                |  |
|-------------------------------------|----------------|--|
| <input checked="" type="checkbox"/> | 37 CFR 1.97(c) | Before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application. This IDS is accompanied by one of: |
|                                     |                | (1) The statement specified in § 1.97(e); or   |
| <input checked="" type="checkbox"/> |                | (2) The fee set forth in § 1.17(p).  |

**Deposit Account Authorization**

07/09/2003 09:20:00 00000000 00000000

01 FC:1608

100.00 00

Please apply any charges or credits to Deposit Account No. 501524.

Respectfully submitted,

Date: July 2, 2003



Steven C. Sereboff, Reg. No. 37,035

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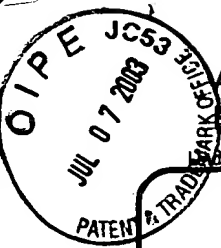
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I hereby certify that this correspondence is being deposited with the United States Postal Service as priority mail in a box addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date set forth below.

By: \_\_\_\_\_

Steven C. Sereboff

Dated: July 3, 2003



App. Number  
Bar Code



Approved for use through 04/30/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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2134 \$ CC

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 180.00

Complete if Known

|                      |             |                        |
|----------------------|-------------|------------------------|
| Application Number   | 09/259,991  | RECEIVED               |
| Filing Date          | 03-10-1999  | JUL 09 2003            |
| First Named Inventor | Mahne       |                        |
| Examiner Name        | Smithers    | Technology Center 2100 |
| Art Unit             | 2134        |                        |
| Attorney Docket No.  | M000-P02003 |                        |

## METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 501524  
Deposit Account Name: SCal IP Law Group

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 1001 750                   | 2001 375                   | Utility filing fee     |          |
| 1002 330                   | 2002 165                   | Design filing fee      |          |
| 1003 520                   | 2003 260                   | Plant filing fee       |          |
| 1004 750                   | 2004 375                   | Reissue filing fee     |          |
| 1005 160                   | 2005 80                    | Provisional filing fee |          |
| SUBTOTAL (1) (\$ )         |                            |                        |          |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** =      | X              |          |
| Multiple Dependent | -3** =       | X              |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 1202 18                    | 2202 9                     | Claims in excess of 20                                     |          |
| 1201 84                    | 2201 42                    | Independent claims in excess of 3                          |          |
| 1203 280                   | 2203 140                   | Multiple dependent claim, if not paid                      |          |
| 1204 84                    | 2204 42                    | ** Reissue independent claims over original patent         |          |
| 1205 18                    | 2205 9                     | ** Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) (\$ )         |                            |  |          |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code    | Fee (\$) | Fee Code    | Fee (\$) | Fee Description  | Fee Paid |
|-------------|----------|-------------|----------|--|----------|
| 1051 130    |          | 2051 65     |          | Surcharge - late filing fee or oath  |          |
| 1052 50     |          | 2052 25     |          | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130    |          | 1053 130    |          | Non-English specification  |          |
| 1812 2,520  |          | 1812 2,520  |          | For filing a request for ex parte reexamination                            |          |
| 1804 920*   |          | 1804 920*   |          | Requesting publication of SIR prior to Examiner action                     |          |
| 1805 1,840* |          | 1805 1,840* |          | Requesting publication of SIR after Examiner action                        |          |
| 1251 110    |          | 2251 55     |          | Extension for reply within first month                                     |          |
| 1252 410    |          | 2252 205    |          | Extension for reply within second month                                    |          |
| 1253 930    |          | 2253 465    |          | Extension for reply within third month                                     |          |
| 1254 1,450  |          | 2254 725    |          | Extension for reply within fourth month                                    |          |
| 1255 1,970  |          | 2255 985    |          | Extension for reply within fifth month                                     |          |
| 1401 320    |          | 2401 160    |          | Notice of Appeal   |          |
| 1402 320    |          | 2402 160    |          | Filing a brief in support of an appeal                                     |          |
| 1403 280    |          | 2403 140    |          | Request for oral hearing   |          |
| 1451 1,510  |          | 1451 1,510  |          | Petition to institute a public use proceeding                              |          |
| 1452 110    |          | 2452 55     |          | Petition to revive - unavoidable   |          |
| 1453 1,300  |          | 2453 650    |          | Petition to revive - unintentional   |          |
| 1501 1,300  |          | 2501 650    |          | Utility issue fee (or reissue)   |          |
| 1502 470    |          | 2502 235    |          | Design issue fee   |          |
| 1503 630    |          | 2503 315    |          | Plant issue fee  |          |
| 1460 130    |          | 1460 130    |          | Petitions to the Commissioner  |          |
| 1807 50     |          | 1807 50     |          | Processing fee under 37 CFR 1.17(q)  |          |
| 1806 180    |          | 1806 180    |          | Submission of Information Disclosure Stmt                                  | 180.00   |
| 8021 40     |          | 8021 40     |          | Recording each patent assignment per property (times number of properties) |          |
| 1809 750    |          | 2809 375    |          | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810 750    |          | 2810 375    |          | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801 750    |          | 2801 375    |          | Request for Continued Examination (RCE)                                    |          |
| 1802 900    |          | 1802 900    |          | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 180.00

## SUBMITTED BY

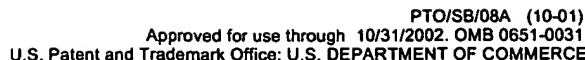
|                   |                    |                                   |              |           |              |
|-------------------|--------------------|-----------------------------------|--------------|-----------|--------------|
| Name (Print/Type) | Steven C. Seraboff | Registration No. (Attorney/Agent) | 37,035       | Telephone | 805-230-1350 |
| Signature         |                    | Date                              | July 2, 2003 |           |              |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.





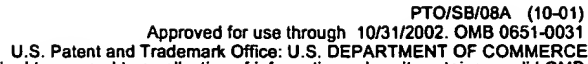
|   |   |    |   |                               |               |
|---|---|----|---|-------------------------------|---------------|
| Substitute for form 1449A/PTO<br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(use as many sheets as necessary)</i> |   |    |   | <b>Complete if Known</b>      |               |
|   |   |    |   | <b>Application Number</b>     | 09/259,991    |
|   |   |    |   | <b>Filing Date</b>            | 03/01/1999    |
|   |   |    |   | <b>First Named Inventor</b>   | Mahne         |
|   |   |    |   | <b>Art Unit</b>               | 2134          |
|   |   |    |   | <b>Examiner Name</b>          | Smithers      |
|   |   |    |   | <b>Attorney Docket Number</b> | M000-P02003US |
| Sheet   | 2 | of | 6 |                               |               |

| Examiner<br>Initials | Cite<br>No. 1 | Document Number                           | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|----------------------|---------------|---|--------------------------------|--|---|
|                      |               | Number- Kind Code <sup>2</sup> (if known) |                                |  |   |
|                      |               | US- 5,313,579                             |                                | Chao   | <div>RECEIVED</div> <div>JUL 09 2003</div> <div>Technology Center</div>         |
|                      |               | US- 4,442,484                             | 04/10/1984                     | Childs, Jr., et al.                                |   |
|                      |               | US- 4,633,430                             | 12/30/1986                     | Cooper   |   |
|                      |               | US- 5,598,470                             |                                | Cooper, et al.                                     |   |
|                      |               | US- 5,404,881                             |                                | Crockett   |   |
|                      |               | US- 4,780,905                             |                                | Cruts, et al.                                      |   |
|                      |               | US- 4,780,821                             | 10/25/1988                     | Crossley   |   |
|                      |               | US- 4,937,861                             | 06/28/1990                     | Cummins  |   |
|                      |               | US- 5,007,082                             |                                | Cummins  |   |
|                      |               | US- 5,063,596                             | 11/05/1991                     | Dyke   |   |
|                      |               | US- 4981,370                              | 01/01/91                       | Dziewit, et al.                                    |   |
|                      |               | US- 4,203,166                             | 05/13/1980                     | Ehrsam, et al.                                     |   |
|                      |               | US- 4,238,854                             |                                | Ehrsam, et al.                                     |   |
|                      |               | US- 4,386,234                             |                                | Ehrsam, et al.                                     |   |
|                      |               | US- 5,815,571                             | 09/29/1998                     | Finley   |   |
|                      |               | US- 5,666,490                             |                                | Gillings   |   |
|                      |               | US- 4,568,936                             | 02/04/1986                     | Goldman  |   |
|                      |               | US- 5,319,705                             |                                | Halter   |   |
|                      |               | US- 4,584,639                             | 04/11/1986                     | Hardy  |   |
|                      |               | US- 5,870,468                             |                                | Harrison   |   |

[illegible]

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

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Substitute for form 1449A/PTO

*(use as many sheets as necessary)*

Sheet 4 of 6

**Complete if Known**

|                               |               |
|-------------------------------|---------------|
| <b>Application Number</b>     | 09/259,991    |
| <b>Filing Date</b>            | 03/01/1999    |
| <b>First Named Inventor</b>   | Mahne         |
| <b>Art Unit</b>               | 2134          |
| <b>Examiner Name</b>          | Smithers      |
| <b>Attorney Docket Number</b> | M000-P02003US |

| Examiner<br>Initials* | Cite<br>No. 1 | Document Number                           | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|---------------|---|--------------------------------|--|---|
|                       |               | Number- Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       |               | US- 5,490,252                             |                                | Macara   |   |
|                       |               | US- 5,623,653                             |                                | Matsuno, et al.                                    |   |
|                       |               | US- 5,142,578                             |                                | Matyas, et al.                                     |   |
|                       |               | US- 5,796,824                             |                                | McDonnal, et al.                                   | RECEIVED  |
|                       |               | US- 5,113,442                             |                                | Moir   |   |
|                       |               | US- 5,394,469                             |                                | Nagel, et al.                                      | JUL 09 2001   |
|                       |               | US- 5,163,147                             | 11/10/1992                     | Orta   |   |
|                       |               | US- 5,388,196                             | 02/07/1995                     | Pajak, et al.                                      | Technology Center   |
|                       |               | US- 4,893,338                             | 01/09/1990                     | Pastor   |   |
|                       |               | US- 5,530,907                             |                                | Pavey, et al.                                      |   |
|                       |               | US- 5,052,040                             |                                | Preston, et al.                                    |   |
|                       |               | US- 5,870,477                             |                                | Sasaki   |   |
|                       |               | US- 4,558,413                             | 12/10/1985                     | Schmidt, et al.                                    |   |
|                       |               | US- 5,410,598                             | 04/25/1995                     | Shear  |   |
|                       |               | US- 5,546,583                             | 08/13/1996                     | Shriver  |   |
|                       |               | US- 5,572,673                             |                                | Shurts   |   |
|                       |               | US- 4,956,769                             | 09/11/1990                     | Smith  |   |
|                       |               | US- 5,325,430                             |                                | Smyth  |   |
|                       |               | US- 5,463,772                             |                                | Thompson, et al.                                   |   |
|                       |               | US- 5,481,700                             |                                | Thuraisingham                                      |   |

[illegible]

Date Considered

1 Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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